

03-18-02

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ATTORNEY'S DOCKET NO.  
068875.0286

PATENT APPLICATION

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TRANSMITTAL FOR U.S. PATENT APPLICATION  
UNDER 37 CFR §1.53(b)

BOX PATENT APPLICATION  
ASSISTANT COMMISSIONER  
OF PATENTS  
Washington, D.C. 20231

Attorney's Docket: 068875.0286

Sir:

Transmitted herewith for filing is the original patent application of:

Inventor: Ming (nmi) Xu, et al.

For: LIQUID CRYSTAL BASED OPTICAL SIGNAL PROCESSING

Enclosed are:

- (1) 31 pages of Specification, Claims and Abstract;
- (2) 3 pages of Executed Declaration and Power of Attorney;
- (3) 6 pages of Formal Drawings;
- (4) 2 pages of an Assignment of the invention to Chorum Technologies LP;
- (5) 2 pages of a separate cover sheet in compliance with 37 C.F.R. § 3.28 and § 3.31 is included with an Assignment recordal fee of \$40.00 pursuant to 37 C.F.R. § 1.21(h);
- (6) 1 page Nonpublication Request Under 35 U.S.C. 122(b)(2)(B)(i);
- (7) 1 page Verified Statement (Declaration) Claiming Small Entity Status (37 CFR 1.9(f) & 1.27(c)) – Small Business Concern;
- (8) 1 page Certificate of Mailing by Express Mail;
- (9) This Transmittal Form with attached patent application filing fee in the amount of \$496.00.

The accompanying application claims the benefit of U.S. Provisional Patent Application Serial No. 60/276,842 filed March 16, 2001.

FEE CALCULATION					FEE
	Number		Number Extra	Rate	Basic Fee \$370.00
Total Claims	34	20	14	X \$9 =	\$126.00
Independent Claims	3	3	0	X \$42 =	\$
TOTAL FILING FEE =					\$496.00

Enclosed is a check in the amount of \$496.00 for filing fee. Please charge any additional fees or credit any overpayment to Deposit Account No. 02-0384 of Baker Botts L.L.P.

BAKER BOTTS L.L.P.  
Attorneys for Applicants



Samir A. Bhavsar  
Registration No 41,617

Date: March 14, 2002

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ATTORNEY'S DOCKET:  
068875.0286

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Ming (nmi) Xu, et al.  
Date Filed: March 14, 2002  
For: LIQUID CRYSTAL BASED OPTICAL  
SIGNAL PROCESSING

**BOX PATENT APPLICATION**

Honorable Assistant Commissioner  
of Patents  
Washington, D.C. 20231

Dear Sir:

CERTIFICATE OF MAILING BY EXPRESS MAIL

I hereby certify that the attached Patent Application (31 pages, including Specification, Claims, and Abstract), 6 sheets of formal Drawings, a Declaration and Power of Attorney (3 pages), Assignment (2 pages), Assignment Recordation Form Cover Sheet (2 pages), a check in the amount of \$40.00 to cover the recordal fee, Nonpublication Request (1 page), Verified Statement Claiming Small Entity (1 page), Application Transmittal (2 pages), a check in the amount of \$496.00 to cover the application filing fee, an Information Disclosure Statement (1 page), PTO-1449 (1 page with two attached references), this Certificate of Mailing, and an acknowledgment postcard are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on this 14th day of March, 2002 and is addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231.

  
Levado Hamilton

Express Mail Receipt  
No. EV073050484US  
Attorney's Docket: 068875.0286

10098703-031402

<b>NONPUBLICATION REQUEST UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>		First Named Inventor	Ming (nmi) Xu, et al.
		Title	Liquid Crystal Based Optical Signal Processing
		Atty Docket Number	068875.0286

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

March 14, 2002  
Date

BAKER BOTTS L.L.P.  
Attorneys for Applicants

  
Signature

Samir A. Bhavsar  
Typed or printed name  
Reg No.41,617

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant must notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.